

**INDIANA DEPARTMENT OF TRANSPORTATION
MATERIALS AND TESTS DIVISION**

**APPROVED LIST REQUIREMENTS
ITM No. 806-02P**

1.0 SCOPE.

- 1.1. This test procedure covers the requirements for a product, source or otherwise prescribed subject matter to be added, maintained and removed from a Department's approved list.
- 1.2. The values stated in either English or acceptable SI metric units are to be regarded separately as standard, as appropriate for a specification with which this ITM is used. Within the text, SI metric units are shown in parenthesis. The values stated in each system may not be exact equivalents; therefore each system shall be used independently of the other, without combining values in any way.
- 1.3. This ITM may involve hazardous materials, operations, and equipment. This ITM does not purport to address all of the safety problems associated with the ITMs use. The ITM user's responsibility is to establish appropriate safety and health practices and determine the applicability of regulatory limitations prior to use.

2.0 REFERENCED.

ITM Standards

ITM 804 Sample Material Certification Forms

3.0 Terms and Abbreviations. Definitions for terms and abbreviations shall be in accordance with the Department's Standard Specifications, Section 101, except as follows.

- 3.1. **Equipment.** An electrical or mechanical product produced by manufacturer.
- 3.2. **Manufacturer.** Company owning a source.
- 3.3. **Material.** Matter in a raw resource or manufactured product form which is identified by specifications and used in or during the construction and maintenance of transportation facilities.
- 3.4. **Product.** Material produced by a source having a name unique to the manufacturer.

3.5. Source. Company having a location that provides a material. Term will include the common industry terms such as plant, mill, factory, fabricator, supplier, distributor, distribution terminal, and coater.

4.0 SIGNIFICANCE AND USE. This ITM will explain the requirements for a product, source or otherwise prescribed subject matter of an approved list to be added, maintained and removed from the list.

5.0 GENERAL REQUIREMENTS.

5.1. QCP. When the specification for a product, source, or otherwise prescribed subject matter requires a QCP, the QCP shall include as appropriate to the product, source or prescribed subject matter, but not be limited to, the following:

- (a) Name and location of source or manufacturer,
- (b) List of material and specification reference for the material that the approval is being requested,
- (c) Average monthly production of the material by size, type or grade,
- (d) Name, address and telephone number of responsible contact person,
- (e) Facility layout or production process of the material,
- (f) Quality parameters of the material,
- (g) Raw material sampling and testing frequency,
- (h) Procedures for conforming materials which provides a positive linkage between the furnished materials and the quality control test data,
- (i) Procedures for non-conforming materials,
- (j) Procedures for marking and tracking materials,
- (k) Procedures for documentation maintenance,
- (l) Finished material sampling and testing frequency,
- (m) Procedures for reviewing and updating the QCP,
- (n) Testing laboratory quality system,
- (o) Names, titles and qualifications of sampling and testing personnel,
- (p) Location and telephone number of the laboratory testing office,
- (q) Laboratory equipment and calibration frequency,
- (r) Test methods, procedures and laboratory equipment used for each type of material,
- (s) Sample management describing procedures for samples identification, maintenance of the samples prior to testing, sample retention and disposal of samples,
- (t) Testing report procedures,
- (u) Methods used to identify improper test results and procedures followed when testing deficiencies occur,
- (v) Statistical analysis of test results, and
- (w) Maintenance of test records.

The QCP shall be signed and dated by the source's or manufacturer's representative at the time it is submitted for acceptance. The QCP shall be maintained to reflect the current status and revisions shall be provided to the Department in writing.

5.2. Recognized Laboratory. Testing may be required which will be performed outside the Department's laboratories. A recognized laboratory shall be the following:

- (a) A state transportation agency testing laboratory,
- (b) A testing laboratory regularly inspected by the CCRL for PCC materials, and
- (c) A testing laboratory regularly inspected by the AMRL.

6.0 APPROVED LIST PROCEDURE A.

6.1. Approval. A source, requesting approval for addition to a Department's list, shall provide to the Material and Tests Division the following:

- (a) A current MSDS and summary of results of all specified tests for the previous year's production shall be submitted. No test results shall be more than two years old at time of submission.
- (b) A QCP, which ensures the Department of a continuous supply of material complying with the requirements, shall be furnished in accordance with 5.1. The QCP shall provide for a 95% or greater statistical assurance that the materials will be in accordance with the specifications, and include type and frequency of sampling and testing.

6.2. Maintaining Approval. Test reports shall be generated in accordance with specification requirements for the material and submitted monthly to the Materials and Tests Division. If the material is not produced by the source in a given month, the monthly submittal shall state:

"No _____ was manufactured during _____. "
material & type, month/year
class or grade

Samples of material may be obtained randomly for verification at the source or at the point of incorporation into the work in accordance with 106.02.

The source shall provide written notification of any changes, revisions or updates of the QCP, MSDS, source name or address, contact person or product name to the Materials and Tests Division.

6.3. Removal from Approved List. A source will be removed from the approved list for the following, but not limited to, reasons:

- (a) Test failures determined by verification sampling,
- (b) Monthly test reports not provided for three consecutive months,
- (c) Test reports generated by the source which show non-compliance with specification requirements, and
- (d) Performance of product no longer meets intended purpose.

7.0 APPROVED LIST PROCEDURE B.

7.1. Approval. A source, requesting approval for addition to a Department's list, shall provide to the Material and Tests Division the following:

- (a) A current MSDS and summary of results of all specified tests for six consecutive month's production shall be submitted. No test results shall be more than one year old at time of submission.
- (b) A QCP, which ensures the Department of a continuous supply of material complying with the requirements, shall be furnished in accordance with 5.1.
- (c) A certification shall be provided for the applicable material in accordance with ITM 804.

7.2. Maintaining Approval. Test reports shall be generated in accordance with specification requirements for the material and submitted monthly to the Materials and Tests Division. The reports shall have summarized test results, shall state the name and location of the test facility, and shall be signed by the testing facility technical manager. If the material is not produced by the source in a given month, the monthly submittal shall state:

"No _____ was manufactured during _____. "
material & type, month/year
class or grade

Samples of material may be obtained randomly for verification at the source or at the point of incorporation into the work in accordance with 106.02.

The source shall provide written notification of any changes, revisions or updates of the QCP, MSDS, source name or address, contact person or product name to the Materials and Tests Division.

7.3. Removal from Approved List. Removal from the approved list will be in accordance with 6.3.

8.0 APPROVED LIST PROCEDURE C.

8.1. Approval. A source of a product, requesting approval for addition of the product to a Department's list, shall provide to the Material and Tests Division the following:

- (a) A sample of the product and, if appropriate, a current MSDS,
- (b) A certification shall be provided for the applicable material in accordance with ITM 804, and
- (c) A dated test report.

8.2. Maintaining Approval. Samples of product may be obtained randomly for verification at the source or at the point of incorporation into the work in accordance with 106.02.

The source shall provide written notification of any changes, revisions or updates of the MSDS, source name or address, contact person or product name to the Materials and Tests Division.

8.3. Removal from Approved List. A product will be removed from the approved list for the following, but not limited to, reasons:

- (a) Test failures or product changes without notification as determined by verification sampling, and
- (b) Performance of product no longer meets intended purpose.

9.0 APPROVED LIST PROCEDURE D.

9.1. Approval. A source of a product, requesting approval for addition of the product to the Department's list shall provide to the Materials and Tests Division the following:

- (a) A certification for the applicable material in accordance with ITM 804,
- (b) A current MSDS,
- (c) Infrared analysis, residue by oven drying, and specific gravity, and
- (d) A dated test report.

9.2. Maintaining Approval. Samples of product may be obtained randomly for verification at the source or at the point of incorporation into the work in accordance with 106.02.

- (a) For a product in which there has been no change in raw materials, formulation, or procedures and test reports on file are less than 5 years old, the source shall submit an annual certification of compliance with ITM 804, except that no test report is required.

- (b) For a product in which there has been a change in raw materials, formulation, or procedures, a complete certification in accordance with ITM 804 shall be required.
- (c) For a product in which the completion date of the test report on file is five years old and there has been no change in raw materials, formulation, or procedures, a complete certification in accordance with ITM 804 having limited test results is required.

9.3. Removal from Approved List. A product will be removed from the approved list for the following, but not limited to, reasons:

- (a) Test failures or product changes without notification as determined by verification sampling, and
- (b) Performance of product no longer meets intended purpose.

10.0 APPROVED LIST PROCEDURE E.

10.1.Approval. A source of a product, requesting approval for addition of the product to a Department's list, shall provide to the Material and Tests Division the following:

- (a) A sample of the product, installation equipment, installation instructions and, if appropriate, a current MSDS, and
- (b) Test data indicating ability to meet requirements.

10.2.Maintaining Approval. Samples of product may be obtained randomly for verification at the source or at the point of incorporation into the work in accordance with 106.02.

The source shall provide written notification of any changes, revisions or updates of the MSDS, source name or address, contact person or product name to the Materials and Tests Division.

10.3.Removal from Approved List. A product will be removed from the approved list for the following, but not limited to, reasons:

- (a) Test failures or product changes without notification as determined by verification sampling, and
- (b) Performance of product no longer meets intended purpose.

11.0 APPROVED LIST PROCEDURE F.

11.1.Approval. A source of a product, requesting approval for addition of the product to the Department's list shall provide to the Materials and Tests Division the following:

- (a) A certification for the applicable material in accordance with ITM 804,
- (b) A current MSDS,
- (c) Infrared analysis, residue by oven drying, and specific gravity, and
- (d) A dated test report substantiating compliance with applicable specifications.

In addition, the source shall provide at no cost to the Department the following:

- (a) Supply and deliver a material sample to the designated location and at the time as required by the Department, and
- (b) Provide the labor, equipment, and incidental materials required to install the product.

11.2.Maintaining Approval. Samples of product may be obtained randomly for verification at the source or at the point of incorporation into the work in accordance with 106.02.

The source shall provide written notification of any changes, revisions or updates of the MSDS, source name or address, contact person or product name to the Materials and Tests Division.

11.3.Removal from Approved List. A product will be removed from the approved list for the following, but not limited to, reasons:

- (a) Test failures or product changes without notification as determined by verification sampling, and
- (b) Performance of product no longer meets intended purpose.

12.0 APPROVED LIST PROCEDURE G.

12.1.Approval. A source of equipment, requesting approval for addition of the equipment to a Department's list, shall provide the Evaluation Section of the Operations Support Division with the following:

- (a) A sample of the equipment, operating instructions and, if appropriate, a current MSDS,
- (b) A QCP, which ensures the Department with a continuous supply of the equipment that complies with the

requirements, shall be furnished in accordance with 5.1,

- (c) A certification shall be provided for the applicable equipment in accordance with ITM 804,
- (d) The equipment's specifications, and
- (e) Information about the equipment's use and application.

12.2.Maintaining Approval. The source shall provide written notification of any changes, revisions or updates to the equipment, equipment's product name, MSDS, source's name or address, and contact person to the Evaluation Section of the Operations Supports Division.

In addition, the source shall provide the following:

- (a) If equipment has no changes in design, model number, operational characteristics or procedures and if the test report on file is less than 5 years old, the source shall submit an annual certification in accordance with ITM 804, except no test report will be required,
- (b) If equipment has no changes in design, model number, operational characteristics or procedures and if the test report on file is 5 years old or more, the source shall submit a complete certification in accordance with ITM 804, except limited test results will be required, or
- (c) If equipment has had changes in design, model number, operational characteristics or procedures, the source shall submit a complete certification in accordance with 804.

12.3.Removal from Approved List. Equipment will be removed from the approved list for the following, but not limited to, reasons:

- (a) Operational failures or equipment changes without notification as determined by verification of operational field performance,
- (b) Test reports generated by the source which do not comply with the specification requirements, or
- (c) Performance of equipment no longer meets intended purpose or use.

13.0 APPROVED LIST PROCEDURE H FOR GLASS BEADS.

13.1.Approval. To have a product added to the Department's List of Approved Materials, the source shall provide to the Operations Support Division the following:

- (a) Three random samples obtained in accordance with ITM 811 of the production run material and at no cost to the department,

- (b) A QCP in accordance with section 5.1 that ensures the Department that the material will be produced to meet specification. The QCP shall provide for a 95% or greater statistical assurance that the materials will be in accordance with the specifications. The QCP shall include the type and frequency of Quality Control sampling and testing to be performed by the supplier,
- (c) A current MSDS, and
- (d) A Type A Certification in accordance with 916.02(a) shall be provided for material produced and represented by the random samples.

The random samples will be tested and results compared to those included on the Type A certification. If results compare within testing precisions, the material will be approved to be placed on the next published Department's List of Approved Materials.

13.2.Maintaining Approval. Random verification samples may be obtained for testing by the department from material just prior to placement. The source shall submit an annual request to remain on the list to Operations Support Division. The source shall provide written notification of any changes, revisions or updates of the QCP or MSDS to Operations Support Division.

13.3.Removal from Approved List. The material will be removed from the Departments List of Approved Materials if any of the following conditions occur:

- (a) Verification Tests fail to meet specifications,
- (b) product changes without notification, or
- (c) Performance of product no longer meets intended purpose as determined by field evaluation.